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CLERK, US DISTRICT COURT
WESTERN DISTRICT OF TEXAS

BY *[Signature]*
DEPUTY

**SECURITIES AND EXCHANGE
COMMISSION,**

Plaintiff,

v.

Case: 1:22-cv-00590-LY

ANTHONY MICHAEL HOLLAND,

Defendant.

**FINAL JUDGMENT AS TO DEFENDANT
ANTHONY MICHAEL HOLLAND**

Upon consideration of Plaintiff's Motion for to Set Disgorgement against Defendant Anthony Michael Holland ("Holland" or "Defendant"), and Plaintiff having moved the Court to set a disgorgement amount, and deem that amount satisfied by a restitution order in a parallel criminal case, and having also advised the Court that plaintiff will forgo seeking civil penalties, and in accordance with the Consent Judgment previously agreed to by the parties, and being advised in the premises,

I.

IT IS HEREBY ORDERED, ADJUDGED, AND DECREED that the Defendant's disgorgement in this matter is set at \$1,123,097 and prejudgment interest is set at \$151,101 (cumulatively \$1,274,198), but those amounts are deemed satisfied by the order requiring Defendant to pay restitution of \$1,175,887, entered in *United States v. Holland*, A-21-CR-253 (W.D. TX).

II.

IT IS HEREBY ORDERED, ADJUDGED, AND DECREED that Defendant is permanently restrained and enjoined from violating, directly or indirectly, Section 10(b) of the Securities Exchange Act of 1934 (the "Exchange Act") [15 U.S.C. § 78j(b)] and Rule 10b-5 promulgated thereunder [17 C.F.R. § 240.10b-5], by using any means or instrumentality of interstate commerce, or the mails, or of any facility of any national securities exchange, in connection with the purchase or sale of any security:

- (a) to employ any device, scheme or artifice to defraud;
 - (b) To make any untrue statement of a material fact or to omit to state a material fact necessary in order to make the statements made, in the light of the circumstances under which they were made, not misleading;
- or

(c) to engage in any act, practice, or course of business which operates or would operate as a fraud or deceit upon any person.

III.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that, as provided in Federal Rule of Civil Procedure 65(d)(2), the foregoing paragraph also binds the following who receive actual notice of this Judgment by personal service or otherwise: (a) Defendant's officers, agents, servants, employees, and attorneys; and (b) other persons in active concert or participation with Defendant or with anyone described in (a).

IV.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that pursuant to Section 21(d)(5) of the Exchange Act [15 U.S.C. § 78u(d)(5)], Defendant is (a) permanently restrained and enjoined from directly, or indirectly, (i) participating in any issuance, purchase, offer, or sale of municipal securities, including but not limited to engaging or communicating with a broker, dealer, municipal securities dealer, municipal advisor, bond insurer, nationally recognized statistical rating organization, investor, issuer or obligated person for purposes of issuing, purchasing, offering, or selling any municipal security; and (ii) participating in the preparation of any materials or information which Defendant should reasonably expect to be submitted to the

Municipal Securities Rulemaking Board's Electronic Municipal Market Access system in connection with an offering or a continuing disclosure obligation, or which Defendant should reasonably expect to be provided to investors in connection with any offering (including a private placement) of municipal securities, provided however, that such injunction shall not prevent Defendant from purchasing or selling municipal securities for his own personal account; and (b) ordered to provide a copy of the Judgment by email or mail within 10 days of the entry of the Judgment to any issuer of municipal securities or obligated person with which Defendant is employed as of the date of the entry of the Judgment.

V.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that, as provided in Federal Rule of Civil Procedure 65(d)(2), the foregoing paragraph also binds the following who receive actual notice of this Judgment by personal service or otherwise: (a) Defendant's officers, agents, servants, employees, and attorneys; and (b) other persons in active concert or participation with Defendant or with anyone described in (a).

VI.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that this

Court shall retain jurisdiction of this matter for the purposes of enforcing the terms of this Final Judgment.

Dated: Dec. 15, 2022



UNITED STATES DISTRICT JUDGE